

FOCI Requirement Matrix

BUSINESS
STRUCTURE

	Sole Proprietorship*	Privately Owned Corporation**	Publicly Traded Corporation**	Partnership** 1. General 2. Limited	Limited Liability Company**	College/University**
S I T N A F N O R A M D T I O N	- SF 328 w/ Instructions (Questionnaire). Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by the proprietor.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by an authorized representative of the corporation.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by an authorized representative of the corporation.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by an authorized representative of the partnership.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated and certified by an authorized representative of the company.	- SF 328 w/ Instructions (Questionnaire) Affirmative answers are explained on a separate attachment. Form must be signed, dated, and certified by an authorized representative of the institution.
	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.	- Summary FOCI Data Sheet.
	- Representative of Foreign Interest Statement (If applicable).	- Representative of Foreign Interest Statement (If applicable).	- Representative of Foreign Interest Statement (If applicable).	- Representative of Foreign Interest Statement (If applicable).	- Representative of Foreign Interest Statement (If applicable).	- Representative of Foreign Interest Statement (If applicable).
	- List of Owners, Officers, Directors & Executives, , (OODEP Form).	- List of Owners, Officers, Directors & Executives, , (OODEP Form).	- List of Owners, Officers, Directors & Executives, , (OODEP Form).	- List of Owners, Officers, Directors & Executives, (OODEP Form).	- List of Owners, Officers, Directors & Executives, (OODEP Form).	- List of Owners, Officers, Directors & Executives, (OODEP Form).
O S T R G R A U N C I T U A R T I O N A L	-- In community property states, (AZ,CA,ID,LA,NV, NM,TX,WA,WI), spousal information is also required on the OODEP Form. If single, so indicate.	- Stock Ownership Form (Share Holders= Form). If there is a Shareholders Agreement, a copy must be provided.	- Most recent Proxy Statement for the annual meeting of stockholders. - Most recent copies of Schedules 13D and/or 13G received from any beneficial owners (foreign or domestic) who hold 5% or more of the US organization securities.	- Stock Ownership Form (Share Holders= Form). Only if any part of the partnership has public stock. - If publicly traded: Most recent copies of Schedules 13D and/or 13G received on any beneficial (foreign or domestic) who hold 5% or more of the US organization securities. - If publicly traded: Most recent Proxy Statement for the annual meeting of stockholders.	Authorizing resolutions for the board of directors spelling out their specific responsibilities.	Authorizing resolutions for the OODEPs spelling out their specific responsibilities.
	- State Registration Certificate (e.g., Certificate of Fictitious Business Name)/Tax ID Number.	- Articles of Incorporation (with all amendments).	- Articles of Incorporation (with all amendments).	1. General B Similar to a Sole Proprietorship, and may only be able to provide a certificate of fictitious business name. 2. Limited B Must submit Certificate of Limited Partnership filed with the state.	- Certificate of Organization.	- University Charter (Similar to Articles of Incorporation).
G O V E R N M E N T		- By-laws (attested copy with all amendments).	- By-laws (attested copy with all amendments).	- Partnership Agreement.	- Operating Agreement.	- Charter or similar documents to company = s by-laws.

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F I N A N C E I S A T L S	<p>- Latest Financial Report, or a copy of the 1040 for the previous year (including Schedule C).</p> <p>The most recent IRS tax return may ONLY be submitted if the tax return includes the information required to be included on a balance sheet and income statement and the tax return is a copy of the entire return.</p>	<p>- Latest consolidated Annual Report or Audited financial information, including notes for the most recently closed accounting year. (If audited report is not available, entity must certify to the unavailability of audited information).</p> <p>- If company stock is not publicly traded, but the company has publicly-traded debt, submit Form 10-K filed with SEC.</p>	<p>- Latest Annual Report to the Shareholders for the most recently-closed accounting year.</p> <p>Any Form 10-Qs for financial quarters filed since last annual report.</p>	<p>- If publicly traded, submit latest annual report to the shareholders. Also any Form 10-Qs for financial quarters since the last annual financial report.</p> <p>- Not publicly traded Latest consolidated Annual Report or Audited Financial Information, including notes, for the most recently closed accounting year. (If audit report is not available, entity must certify to the unavailability of audited information).</p>	<p>- Latest Annual Report or Audited Financial Information, including notes, for the most recently closed accounting year. (If audit report not available, the entity must certify to the unavailability of audited information).</p>	<p>- Latest Report or Audited Financial Information, including notes, for the organization=s most recently closed accounting year. (If audit report not available, the entity must certify to the unavailability of audited information).</p>
M M E I E N T U I T N E G S		<p>- Most recent Annual Stockholders and Board meeting minutes identifying directors and officers of the Corporation and company=s voting list. This should include the authorizing resolutions of the board of directors which spell out the authorities of the OODEPs.</p>	<p>Authorizing resolutions for the board of directors that spell out the authorities of the OODEPs.</p>	<p>If required by partnership agreement: The most recent Annual Stockholders and Board meeting minutes identifying directors and officers and company=s voting list.</p>		<p>- Most recent Annual Board meeting minutes identifying directors and officers of the entity, and entity=s voting list.</p>

NOTES: * FOCI determination is not required of self-employed individuals performing work under a consulting agreement. (DOE O 470.1, IV, 2a).

** If applicable, each tier parent of the bidder must submit a complete package (i.e., information shown above for the applicable form of the business)